

14230 U.S. PTO  
08/01/03

Docket No.MIT8935ADIV

## NEW APPLICATION TRANSMITTAL

02914 U.S. PRO  
08/01/03

Transmitted herewith for filing is the patent application of:

Inventor(s): Desmond R. Lim & Lionel C. Kimerling

For (title): METHODS OF ALTERING THE RESONANCE  
OF WAVEGUIDE MICRO-RESONATORS

**1. Type of Application**

Utility  
 Design

**2. Small Entity**

Yes  
 No

**3. Benefit of Prior U.S. Application(s) Under 35 U.S.C. §120**

This application is a:

Divisional  
 Continuation  
 Continuing Patent Application (CPA) under 37 C.F.R. §1.53(d)  
 Continuation-in-part (CIP),

and hereby claims benefit under 35 U.S.C. §120 to the following applications:

SERIAL NUMBER	FILING DATE
09/961,572	9/21/01

**4. Benefit of Non-U.S. Application Under 35 U.S.C. §119(a)-(d)**

This application claims priority under 35 U.S.C. §119(a)-(d) to the following foreign application(s) and/or inventor certificate(s):

COUNTRY	APPLN. NUMBER	FILING DATE
None		

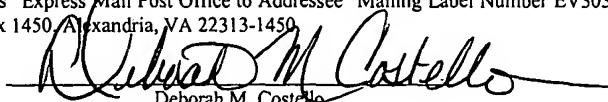
Certified copy(ies) of the application(s) and/or inventor certificate's from which priority is claimed:

is(are) attached;  
 will follow.

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### CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. §1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on August 1, 2003 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV303917925US addressed to the: Assistant Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450

  
Deborah M. Costello

5. **Benefit of Provisional Application Under 35 U.S.C. §119(e)**

This application claims priority to the following provisional application(s):

SERIAL NUMBER	FILING DATE
60/235,007	September 25, 2000
60/234,844	September 22, 2000

6. **Papers Enclosed Which Are Required For Filing Date Under 37 C.F.R. §1.53**

35 Pages of Specification, including claims, abstract and coversheet

8 Sheets of Drawing

7. **Additional Papers Enclosed**

Copy of Declaration and Power of Attorney as filed in parent  
 Preliminary Amendment  
 Copies of Information Disclosure Statements (37 CFR 1.98), Forms PTO-1449 as filed in parent  
 Copy of Assignment and Form PTO-1595 as filed in parent  
 Declaration of Biological Deposit  
 Submission of "Sequence Listing" computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequences.  
 Other \_\_\_\_\_

8. **Application Filing Fee Calculation**

A.  Utility Application

FEE CALCULATION:

Total Claims: 25 - 20 = 5 × \$18 = \$90.00

Independent Claims: 2 - 3 = 0 × \$80 = \$

Basic Fee: .....\$750.00

Multiple-Dependent-Claim Fee : .....\$

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Total of the Above Calculations: ..... \$840.00

Amendment canceling extra claims enclosed.  
 Amendment deleting multiple dependencies enclosed.  
 Fee for extra claims is not being paid at this time.

B.  Design application - \$320 \$

Application Filing Fee Sub-Total ..... \$

C.  Less 50% reduction for small entity..... \$

D.  Non-English Specification - \$130..... \$

**TOTAL FILING FEE .....** \$840.00

9. **Payment**

Enclosed

Check in the amount of the Total Filing Fee set forth above.

Charge Account No. 19-0079 in the amount of Total Filing Fee set forth above. A duplicate of this transmittal is attached.

Not Enclosed

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§1.16 and 1.17 that may be required by this paper or any paper filed in connection with this Patent Application, or refund any overpayment to our Deposit Order Account No. 19-0079.

Respectfully submitted,



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